UC HRA Upper Cumberland Human Resource Agency

GFA #34530-45720

TECHNICAL RESPONSE ORIGINAL

May 3, 2019

UC HRA Upper Cumberland Human Resource Agency

ATTACHMENT A

Employment and Case Management Services – Scope of Service Delivery

Agency Name: **Upper Cumberland Human Resource Agency**

Grant: **GFA #34530-45720**

Scope of Service Delivery:

What:

UCHRA will provide Employment and Case Management Services to Families First eligible clients using the methods described below.

- **Two Generational Approach -** Provide Employment and Case Management Services to all eligible applicants with a focus on empowering families eligible for Families First participants on a course to achieve economic stability based on the Two-Generation approach utilizing the (4) core component areas of Educational Success, Workforce Development and Economic Assets, Health and Well Being and Social Capital. This approach will drive the Employment and Case Management Services program along with a focus on the whole family approach.
- **Families First/Workforce Innovation and Opportunity Act -**UCHRA will enter into a Tennessee Workforce Investment Opportunities Act Memorandum Of Understanding agreement to reflect a mutual referral process to allow the agency to collaborate with the State, Local Workforce Development Areas and other local mandated partners that will allow the agency to implement a comprehensive service delivery model utilizing all resources available for each participant.
- **Federal and State Families First/ TANF Work Requirements -** The agency will help families achieve economic stability through early childhood development pathways to education and employment for parents, and provide supportive services directly or through partnerships. Client will be engaged in Core and/or Non-Core Work Component activities per state requirements.

UCHRA Upper Cumberland Human Resource Agency

Where:

UCHRA is uniquely situated to provide the Employment and Case Management Services needed for Families First eligible applicants for this program as the agency has fully staffed offices in all fourteen (14) counties of the Upper Cumberland Region.

- The Upper Cumberland Human Resource Agency's fourteen (14) county service area offices are located in Cannon, Clay, Cumberland, DeKalb, Fentress, Jackson, Macon, Overton, Pickett, Putnam, Smith, Van Buren, Warren and White Counties.
- UCHRA has a referral link system in place with the American Job Centers located in the service delivery area. This will ensure that we meet the requirements for the One Stop Component.
- UCHRA will ensure that no participant shall travel more than forty (40) miles or forty-five (45) minutes from their residence for assistance.

How and Who:

The Upper Cumberland Human Resource Agency is poised to provide this program seamlessly with the structure in place within the agency and the Community that will allow us to serve the Families First participants to the fullest extent using the Employment and Case Management Services program, the agency's Self Sufficiency and Training Program (STAR) and the community resources provided by the fourteen (14) county offices of UCHRA. UCHRA is a recipient of the Community Service Block Grant funding and is a designated Community Action Agency which allows the agency to fill gaps in services to all programs provided in the agency. This will allow UCHRA to provide a myriad of supportive services to the Families First participants. The agency's partnership and co locations with the American Job Centers allows UCHRA to provide a holistic approach to the delivery of services to the Families First eligible participants who will benefit from this program.

UCHRA has a structured network of partnerships for community resources that is in place in all fourteen (14) of the agency's regional offices so that Families First eligible participants will receive assistance at every level in their process of achieving self-sufficiency. UCHRA staff in all offices are trained in Transition to Success, Two-Gen Approach and Case Management to allow them to address any needs a participant may have and to address barriers to that success.

UCHRA will provide services that incorporate all concepts of a comprehensive collaboration of programs that enables an approach that utilizes Education, Employment, Economic Assets, Health factors, and Social Capital along with supportive measure through other programs and agencies to meet the intent of the Employment and Case Management Services program.

UCHRA has in place programs funded through the Department of Transportation and The Department of Human Services, Head Start and Early Childhood Education component currently being developed that will assist the agency in providing a compressive array of supportive services to ensure the success of the Department of Human Services Families First Employment and Case Management Services program. By coordinating the agency resources in conjunction with Workforce Innovative Opportunities Act and a myriad of Community Partners, families will be in a position to Transition to Economic Success.

UCHRA will provide all services as required in Attachment 1 of the Employment and Case Management Services program. Services will be focused on the Two-Gen Approach and the Transition to Success Model. The agency will provide the following:

Educational Opportunities:

1. Provide an early childhood school readiness annual open enrollment event with local service providers to allow clients to address education as a means to success from early age to adulthood.
2. Conduct bi annual educational fairs with community partners across the age spectrum to increase awareness and access to adult education programs.

Workforce Development:

1. Complete clients Individual Opportunity Plan using Labor Market Information data to allow access to employment and career opportunities.
2. Provide access to training and employment resources for clients based on labor market demands by participating in quarterly meetings with employers, Local Workforce Development Act s and American Job Centers.
3. Provide a Referral process for clients and their families to access educational opportunities in skill development, job training programs, educational programs and career preparation by partnerships with local American Job Centers and Local Workforce Development Act s.
4. Refer clients to community resources that address financial management, income tax preparation, and basic banking and budgeting knowledge.
5. Provide referrals for clients and family members who are youth/young adults having a disability to Local Workforce Development Act or American Job Centers for career preparation and employment services.

Health and Well-Being:

1. Provide referrals to clients and family members to information and access to health resources in the community to address health issues, dental and mental health concerns.

2. Host (3) Empowerment workshops per program year to educate clients and their families on adverse childhood experiences, stress and managing toxic stress. Basing these workshops on the Two-Gen Approach.

Social Capital:

1. Host (3) events per program year to allow clients and their families to meet with other Families First participants to share knowledge and best experiences to increase emotional support and to allow for sharing of community resources.
2. Refer client(s) with children to mentorship programs in their communities to allow them to enroll children in need of those services.

Program Specific Requirements:

Employment and Case Management:

1. Clients will be assigned a Career Specialist or equivalent who will arrange for the initial contact in writing to inform the client of their orientation date and time (schedule within ten (10) business days from date of referral). If client fails to respond UCHRA will follow the policy to attempt to reschedule the appointment by contacting the client on a weekly basis at least twice per week at different times for a period of four (4) weeks. The agency will reach out to the client's representative and document all attempts to schedule the client. If client fails to the State Clients who attend orientation will be ask to sign a form acknowledging their understanding of the program goals.

Clients assigned to the program will meet and engage in all Core and Non-Core Work components activities as specified by their Individual Opportunity Plan and meeting the required hours assigned to each client.

1. Clients will be engaged on a monthly basis in a face to face meeting to discuss and assess the client's and families progress in each of the four (4) Two-Generational components to identify success and barriers.
   a. If client cannot meet the requirement staff will make two (2) attempts to reschedule the appointment.
   b. If appointment cannot be made the staff will document attempts to reschedule in the State system of record. The staff can conduct the appointment by phone and document the meeting into the State system of records and in the clients Individual Opportunity Plan.
2. The agency will deliver services in the Tennessee One Stop Delivery System by the methods described below:

   a. Staff will be co-located at the American Job Center's that UCHRA currently have shared offices
   b. In the areas that co-location is not present UCHRA will provide referrals using the current system in place using CSBG funded self sufficiency program and the internal process used by trained staff.

3. The agency will enter into Tennessee Workforce Innovation and Opportunities Act Memorandum of Understanding agreements for the above service delivery model to create a budget based on use/benefit received by co-location in the One Stop Service Delivery system.
   a. The agency shall be reimbursed for cost incurred in the Workforce Innovation and Opportunities Act Memorandum of Understanding by the state monthly by submitting a separate invoice.
   b. If staff is co-located the reimbursement will be on a percentage of facility cost basis.
   c. The agency will evaluate the relative needs quarterly and adjust FTE's based on client volume.
   d. The agency will review the budget for the One Stop operation at least quarterly and make adjustments as the review justifies.
   e. The agency will adjust the Memorandum of Understanding and update it as needed and submit to the state for review and revision.

4. The agency will provide Employment and Case Management Services to achieve economic stability through quality learning for the child, develop pathways to education and employment for the parent(s), and provide supports directly or through community resources.
   a. The agency will provide access to families without traveling more than forty (40) miles or forty-five minutes (45) from their residence.
   b. The agency will ensure the families are progressing through the Families First Program using the Two-Generational Approach.

5. The agency will ensure that the client referred and assigned to its caseload will be engaged in Core and/or Non-Core Work Component activities (Exhibit 1) of at least thirty (30) hours per week in accordance with the state and federal guidelines specified in Exhibit (1) of the contract.
   a. Twenty (20) of the total thirty (30) activity hours shall be in a Core Work Component activity, with the balance to include Core and Non-Core Work Component hours or a combination of both.
   b. Non-Core Work Component cannot exceed ten (10) hours per week.

6. The agency will monitor the client's work activity and document and report any failure to comply with those requirements as set forth in the contract.

7. Staff will contact clients and schedule orientation with five (5) business days from the date the referral will be transmitted by the State to the agency. The initial contact will be in writing with the date and time of orientation (scheduled within ten (10) business days from the date of referral), included in the contact will be the agency's office addresses, hours of operation and telephone number.

8. Clients will be engaged on a monthly basis in a face to face meeting to discuss and assess the client's and families progress in each of the four (4) Two-Generational components to identify success and barriers.
    a. If client cannot meet the requirement staff will make two (2) attempts to reschedule the appointment.
    b. If appointment cannot be made the staff will document attempts to reschedule in the State system of record. The staff can conduct the appointment by phone and document the meeting into the State system of records and in the clients Individual Opportunity Plan.

9. Upon completion of orientation by the client the agency will provide acknowledgement form to the client stating they understand the program goals. The client will sign the form as part of the orientation process.

10. The agency will use assessments and Individual Opportunity Plan's prior to placement of clients into a work component that identifies the characteristics that will guide the client in the development of short and long-term goals for transitioning to self-sufficiency.
    a. Career Assessment
    b. Barrier Assessment
    c. Review Assessments with clients about the results and inform them of educational and/or employment opportunities based on skills, interest and Labor Market Information needs. Work activity will be assigned by Regional Areas and client input.
    d. Complete Individual Opportunity Plan with client with fourteen (14) days from date of orientation.
    e. Update Individual Opportunity Plan and Barriers every three (3) months

f. Staff and client sign Individual Opportunity Plan when any changes are made to the Individual Opportunity Plan or Career Plan. Copy of updated Individual Opportunity Plan must be in client file and update the State system of records with five (5) business days.

Employment Verification and Income Guidelines will be followed based on Sections A.27 through A.29.

Employment Documentation will be provided in accordance with Sections A.30 a-f.

Agency will continually monitor client's employment status and report any changes to the state as soon as notified of changes. Section A.31

Agency will utilize the methodology prescribed by the state to ensure that a client's employment wage hours are accurate. Section A.32a-b

Countable Hours and Activity or Attendance Logs Documentation:

Agency staff will review attendance and/or activity logs weekly and any other documentation submitted by the client to support actual hours of participation to verify the hours in all assigned work activity components. Section A.33. a-c

The agency shall follow the States holiday policy, to the extent possible in assessing clients' hours of participation. Page 14/15 1-4

The agency will enter the client attendance documentation with five (5) business days of the end calendar week into the State System of Records. Section A.34.

Work Verification Plan and Process:
The agency understands the state will conduct quarterly review of Cases assigned to UCHRA in a random manner for accountability. Section A.35.

Client Engagement under Section A.36. described on Page 4.

Client Conciliation Process:
Clients who are non-compliant with their requirements will be contacted by staff with five (5) business days of staff notification of non-compliance. The staff will document this in the State system of records and running case notes in the client file.

Staff will send a written notice to the client of his/her non compliance and place a copy in the file. Staff will document in the State system of records that client was notified in writing. Staff will make two (2) attempts to contact the client during the consecutive five (5) day business period after notice of non-compliance by telephone and document the attempts. The staff will contact the State CR for assistance if needed. Section A.37. a-g

The five (5) day period will not apply to any client who was referred to the agency in order to cure their two (2) week of ten (10) day compliance. If the client fails to show for their initial assessment of any subsequent appointments with two (2) weeks the agency will refer the client back to the State via email for case closure and staff will document the request in the State System of Records. Section A-38

Work Incentive Payment Program:
Client completing the requirements in Section A.39. may be eligible for incentive payments.

Training, Confidentiality and Data Security Protocol:
The agency and staff will participate in all State required trainings and attend meetings to ensure the agency policies, procedures and service delivery are aligned with the State's Two Generational Approach, brain science informed practices, strength-based philosophy practices, TTS practices, and motivational interviewing techniques. Section A.40.

The agency will inform staff of any changes in program requirements and guidelines, fiscal policies and procedures and others as described in Section A.41.

Grantee Staff:
The agency will maintain an Organization Chart that show the relationships and key functions of staff.

The staff will use the State System of Records to complete the State's Security Agreement immediately upon access being granted by the state. The agency currently is a participates in the State System (ACCENT) and is familiar with the policy and procedures.

SPECIFIC ASSISTANCE TO INDIVIDUALS:

Transportation and Supportive Services:

a. Staff will discuss transportation allowable assistance, Support Services and milestone incentive payments and policies with clients during orientation and at other points of contact as needed.
b. Agency staff will be trained to be knowledgeable of Supportive Services and engage local organizations to leverage community-based resources to supplement service and address barriers for the client and families.
c. Transportation and supportive services will be made available to clients to relieve barriers.
d. All services must be documented in client file and recorded to the State system within five (5) business days.

Transportation and Supportive Services will be provided in accordance with Section A.16., A.17. A.18. A.19. A.20. and A.21. Page 8 of the contract.

Milestone and Incentive Payments:

a. Incentive Payments will be made to the client who meets, completes and /or achieves educational and/or employment related milestones.
b. The agency will issue Incentive Payments to clients in the form of a check payable to the client, a Visa Mastercard gift card, or a gift card to a supercenter or discount store (such as Walmart, Target, etc.,) as set forth in the below:
c. Incentive Payments to clients will be based on Section A.23.
d. The agency will receive Incentive payments for clients who transition off Families First assistance based on Section A.25.

PMOs

The agency in order to demonstrate the client's and family's success shall report specific client data and performance outcome to the state. The State will establish the performance outcomes on the Families First program requirements with an emphasis on the Two-Generation Approach components. The agency will submit the PMO report to the state on a quarterly basis by the last business day of the quarter in accordance with the requirements establish by the state. Program reports will show at a minimum:

a. Educational Successes:

Thirty percent (30%) of clients are in an educational or training program that leads to a recognized credential and are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress toward the credential; and

Eighty percent (80%) of pre-school aged children from twelve (12) months to less than five (5) years of age of clients are engaged in quality early childhood experiences such as childcare programs, early Heat Start, Head Start or enrichment programs to promote positive development growth and Kindergarten Readiness.

b. Workforce Development and Economic Assets:

Thirty percent (30%) of clients referred unemp0loyed or became unemployed shall obtain at least part-time employment within six (6) month from the date of the initial orientation or from date of lost employment.

Thirty percent (30%) of clients enrolled in education, training or on the job training obtained a recognized postsecondary credential or a secondary school diploma or its recognized equivalent during program year.

Fifty percent (50%) of employed clients shall retain employment during the quarter of reporting.

Program Reporting:

The agency will complete the following reports to the State on a monthly basis:

a. The Program Activity Report
b. The Postsecondary Education Report
c. Transportation, Support Services, and Incentive Payment Report

Performance Deficiency:

The State will advise the agency of any issues with performance under the contract and the agency will submit to the State a corrective action plan describing it strategies for complying with fourteen (14) business days following the agency's notification by the State. The agency is aware that it could be liable for questioned costs or amounts determined not allowable based on failure to comply with any contract requirements identified as deficient by the State.

UC HRA Upper Cumberland Human Resource Agency

Based upon a monthly average caseload of 236 participants, The Upper Cumberland Human Resource Agency submits the following proposed operational costs totaling $444,000 and direct assistance to participants totaling $444,000 for a combined budget of $888,000.

Expense Line-Item Category	Total Budget
Salaries	233,000.00
Benefits & Taxes	69,900.00
Professional Fees	0.00
Supplies	5,000.00
Telephone	4,000.00
Postage & Shipping	1,100.00
Occupancy	54,500.00
Equipment Rental/Main.	0.00
Printing & Publications	1,500.00
Travel	12,000.00
Conference/Meetings	0.00
Interest	0.00
Insurance	0.00
Grants	0.00
Assistance to Individuals	444,000.00
Depreciation	0.00
Other Non-Personnel	0.00
Capital Purchase	0.00
Indirect Cost	63,000.00
In-Kind Expense	0.00
Grand Total	888,000.00

Mark Farley

Executive Director, Upper Cumberland Human Resource Agency

5.2.19

Date

STATEMENT OF CERTIFICATIONS AND ASSURANCES

The proposer must sign and complete the Statement of Certifications and Assurances below as required, and it must be included in the proposer's proposal.

The proposer does, hereby, expressly affirm, declare, confirm, certify, and assure ALL of the following:

1. The proposer will comply with all of the provisions and requirements of the Grant Funding Announcement.
2. If selected, the proposer will provide all services as defined in the Scope of the Grant Funding Announcement Attachment A, *Pro Forma* Grant Contract for the total Grant Contract Term.
3. The proposer accepts and agrees to all terms and conditions set out in the Grant Funding Announcement Attachment A., *Pro Forma* Grant Contract.
4. The proposer acknowledges and agrees that a grant contract resulting from the Grant Funding Announcement shall incorporate, by reference, all proposal responses as a part of the Contract.
5. The proposer will comply with:

   (a) the laws of the State of Tennessee;

   (b) Title VI of the federal Civil Rights Act of 1964;

   (c) Title IX of the federal Education Amendments Act of 1972;

   (d) the Equal Employment Opportunity Act and the regulations issued there under by the federal government; and,

   (e) the Americans with Disabilities Act of 1990 and the regulations issued there under by the federal government.
6. To the knowledge of the undersigned, the information detailed within the proposal submitted to this Grant Funding Announcement is accurate.
7. The proposal submitted in response to this Grant Funding Announcement was independently prepared, without collusion, under penalty of perjury.
8. No amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the proposer in connection with this Grant Funding Announcement or any resulting grant contract.
9. The proposal submitted in response to this Grant Funding Announcement shall remain valid for at least 120 days subsequent to the Response Deadline established in Section 5 of the Grant Funding Announcement and thereafter in accordance with any grant contract pursuant to the Grant Funding Announcement.
10. The proposer affirms the following statement, as required by the Iran Divestment Act Tenn. Code Ann. § 12-12-111: "By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each bidder is not on the list created pursuant to §12-12-106." For reference purposes, the list is currently available online at: https://www.tn.gov/generalservices/procurement/central-procurement-office--cpo-/library-/public-information-library.html.

By signing this Statement of Certifications and Assurances, below, the signatory also certifies legal authority to bind the proposing entity to the provisions of this Grant Funding Announcement and any grant contract awarded pursuant to it. If the signatory is not the proposer (if an individual) or the proposer's corporate *President* or *Chief Executive Officer*, this document <u>must</u> attach evidence showing the individual's authority to bind the proposer.

<u>DO NOT SIGN THIS DOCUMENT IF YOU ARE NOT LEGALLY AUTHORIZED TO BIND THE PROPOSER</u>

SIGNATURE: Mark Farley

PRINTED NAME & TITLE: Mark Farley, Executive Director

DATE: 5·2·19

PROPOSER LEGAL ENTITY NAME: Upper Cumberland Human Resource Agency

TECHNICAL RESPONSE & EVALUATION GUIDE

SECTION A: PASS/FAIL ITEMS. The Respondent must address all items detailed below and provide, in sequence, the information and documentation as required (referenced with the associated item references). The Respondent must also detail the response page number for each item in the appropriate space below.

The Solicitation Coordinator will review the response to determine if the Mandatory Requirement Items are addressed as required and mark each with pass or fail. For each item that is not addressed as required, the Proposal Evaluation Team must review the response and attach a written determination. In addition to the Mandatory Requirement Items, the Solicitation Coordinator will review each response for compliance with all RFP requirements.

PROPOSER LEGAL ENTITY NAME:			
Response Page # (Proposer completes)	**Item Ref.**	**Section A— Mandatory Requirement Items**	**Pass/Fail**
		The proposal must be delivered to the State no later than the Response Deadline specified in Grant Funding Announcement Section 5, Schedule of Events.	
		The proposal must NOT contain any restrictions of the rights of the State or other qualification of the response.	
		A proposal must NOT submit alternate responses.	
13-14	**A.1.**	Provide the Statement of Certifications and Assurances (Grant Funding Announcement Attachment C) completed and signed by an individual empowered to bind the proposer to the provisions of this Grant Funding Announcement and any resulting grant contract. The Statement of Certifications and Assurances must be signed without exception or qualification.	
16-17	**A.2.**	Provide a statement, based upon reasonable inquiry, of whether the proposer or any individual who shall cause to deliver goods or perform services under the grant contract has a possible conflict of interest (*e.g.*, employment by the State of Tennessee) and, if so, describe the nature of that conflict. NOTE: Any questions of conflict of interest shall be solely within the discretion of the State, and the State reserves the right to cancel any award.	
State Use – Grant Coordinator Signature, Printed Name & Date:			

UC HRA Upper Cumberland Human Resource Agency

Statement of No Conflict

Upper Cumberland Human Resource Agency states that the agency and/or any individual employed by the agency has no Conflict of Interest with the State of Tennessee or any of its departments.

Mark Farley

Executive Director, Upper Cumberland Human Resource Agency

5·2·19

Date

UPPER CUMBERLAND HUMAN RESOURCE AGENCY | CONFLICT OF INTEREST POLICY

As a General Policy, Upper Cumberland Human Resource Agency (UCHRA) seeks to prevent and avoid any conflicts of interest in the conduct of its business operations and to avoid any appearance of such conflicts to the public it services.

Each board member or committee member has the duty to place the interests of UCHRA foremost in any dealings on behalf of the organization and has a continuing responsibility to comply with this Policy. In order to comply with this Policy, it is expected that:

- If a board or committee member has an interest in a proposed transaction with UCHRA in the form of a significant personal or organizational financial interest in the transaction or holds a position as trustee, director, officer or staff member in such organization or business, he or she must make full disclosure of such interest before any discussion or negotiation of such transaction. The disclosure shall be recorded in the minutes of the meeting.

- Any board or committee member who has a potential conflict of interest with respect to any matter coming before the board or a committee shall not participate in any discussion of or vote in connection with the matter. The disclosure shall be recorded in the minutes of the meeting.

- Any board or committee member who gains privileged information by virtue of his or her role as a board, committee or staff member shall not use that privileged information for personal or professional gain.

This Policy shall be distributed annually to board and committee members. A signature in the designated space below will indicate that board or committee members' agreement to abide by this Policy to the best of his or her ability. Noncompliance with the intent and spirit of this Conflict of Interest Policy may result in action deemed appropriate by members of the Agency's Board of Directors.

This Policy may be revised or amended as determined appropriate by the Board of Directors.

By signing this document, I agree to having read the above statement of policy regarding conflict of interest and agree to abide by the policy to the best of my ability in my role as a board or committee member.

Signature: Mark Farley Date: 5·2·19

Printed Name: Mark Farley

CC: Personnel File

File: Compliance with the *Contracts and Procurement Policy and Procedures Manual*

TECHNICAL RESPONSE & EVALUATION GUIDE

SECGENERAL QUALIFICATIONS & EXPERIENCE. The Respondent must address all items detailed below and provide, in sequence, the information and documentation as required (referenced with the associated item references). The Respondent must also detail the response page number for each item in the appropriate space below. Proposal Evaluation Team members will independently evaluate and assign one score for all responses to Section B— General Qualifications & Experience Items found below.

RESPONDENT LEGAL ENTITY NAME:		
Response Page # (Respondent completes)	**Item Ref.**	**Section B— General Qualifications & Experience Items**
20	**B.1.**	Detail the name, e-mail address, mailing address, telephone number, and facsimile number of the person the State should contact regarding the proposal.
20	**B.2.**	Describe the proposer's form of business (*i.e.*, individual, sole proprietor, corporation, non-profit corporation, partnership, limited liability company) and business location (physical location or domicile).
20	**B.3.**	Detail the number of years the proposer has been in business.
20	**B.4.**	Briefly describe how long the proposer has been providing the goods or services required by this Grant Funding Announcement.
20	**B.5.**	Describe the proposer's number of employees, client base, and location of offices.
20	**B.6.**	Provide a statement of whether there have been any mergers, acquisitions, or change of control of the proposer within the last ten (10) years. If so, include an explanation providing relevant details.
21	**B.7.**	Provide a statement of whether the proposer or, to the proposer's knowledge, any of the proposer's employees, agents, independent contractors, or subcontractors, involved in the delivery of goods or performance of services on a contract pursuant to this Grant Funding Announcement, have been convicted of, pled guilty to, or pled *nolo contendere* to any felony. If so, include an explanation providing relevant details.
21	**B.8.**	Provide a statement of whether, in the last ten (10) years, the proposer has filed (or had filed against it) any bankruptcy or insolvency proceeding, whether voluntary or involuntary, or undergone the appointment of a receiver, trustee, or assignee for the benefit of creditors. If so, include an explanation providing relevant details.
21	**B.9.**	Provide a statement of whether there is any material litigation pending against the proposer that the proposer should reasonably believe could adversely affect its ability to meet grant contract requirements pursuant to this Grant Funding Announcement or is likely to have a material adverse effect on the proposer's financial condition. If such exists, list each separately, explain the relevant details, and attach the opinion of counsel addressing whether and to what extent it would impair the proposer's performance in a grant contract pursuant to this Grant Funding Announcement. NOTE: All persons, agencies, firms, or other entities that provide legal opinions regarding the proposer must be properly licensed to render such opinions. The State may require the proposer to submit proof of license for each person or entity that renders such opinions.

RESPONDENT LEGAL ENTITY NAME:		
Response Page # (Respondent completes)	**Item Ref.**	**Section B— General Qualifications & Experience Items**
21	**B.10.**	Provide a statement of whether there are any pending or in progress Securities Exchange Commission investigations involving the proposer. If such exists, list each separately, explain the relevant details, and attach the opinion of counsel addressing whether and to what extent it will impair the proposer's performance in a grant contract pursuant to this Grant Funding Announcement. NOTE: All persons, agencies, firms, or other entities that provide legal opinions regarding the proposer must be properly licensed to render such opinions. The State may require the proposer to submit proof of license for each person or entity that renders such opinions.

B.1.

Mark Farley, mfarley@UCHRA.Com, 580 Suite B, South Jefferson Ave., Cookeville, TN 38501, 931-528-1127 (phone), 931-526-8305 (fax)

B.2.

The Upper Cumberland Human Resource Agency is a quasi-governmental agency created by the TN General Assembly to provide programs at the regional level.

The central office is located in Cookeville, TN but we also have locations in all 14 counties that comprise the region.

B.3.

Since 1973.

B.4.

This agency has previously provided similar programs in the past but are not currently providing Families First programs.

B.5.

The Upper Cumberland Human Resource Agency currently employees 165 full and 260 part-time employees. The majority of our programs are for low income individuals and those who are disabled.

B.6.

In 2018 the Executive Boards over the Upper Cumberland Human Resource Agency and the Upper Cumberland Development District entered into a shared management agreement. Both agencies are managed by one Executive Director, one Finance Director as well as one shared Administrative/Financial team.

B.7.

To our knowledge, no one associated with this grant funding has a felony conviction.

B.8.

This agency has not filed for bankruptcy.

B.9.

There is no known litigation which would affect the agency's ability to perform this contract.

B.10.

There are no known issues involving the Securities Exchange Commission.

TECHNICAL RESPONSE & EVALUATION GUIDE

TECHNICAL QUALIFICATIONS, EXPERIENCE & APPROACH. The proposer must address all items (below) and provide, in sequence, the information and documentation as required (referenced with the associated item references). The proposer must also detail the response page number for each item in the appropriate space below.

A Proposal Evaluation Team, made up of three or more State employees, will independently evaluate and score the response to each item found below. Each evaluator will use the following whole number, raw point scale for scoring each item:

0 = little value ***1 = poor*** ***2 = fair*** ***3 = satisfactory*** ***4 = good*** ***5 = excellent***

The Grant Coordinator will multiply the Item Score by the associated Evaluation Factor (indicating the relative emphasis of the item in the overall evaluation). The resulting product will be the item's Raw Weighted Score for purposes of calculating the section score as indicated.

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	**Item Ref.**	**Section C— Technical Qualifications, Experience & Approach Items**	**Item Score**	**Evaluation Factor**	**Raw Weighted Score**
24	**C.1.**	Provide a narrative that illustrates the proposer's understanding of the State's requirements and project schedule.		**1**	
25	**C.2.**	Provide a narrative that illustrates how the proposer will complete the scope of services, accomplish required objectives, and meet the State's project schedule.		**2**	
27	**C.3.**	Provide a narrative that illustrates how the proposer will manage the project, ensure completion of the scope of services, and accomplish required objectives.		**2**	
28	**C.4.**	Provide a description of the proposer's experience at each of the following: 1. Assessing an individual's job compatibility and connecting individuals on career paths that lead to sustainable income based on the labor market needs; 2. Facilitating job search efforts for individuals that lead to employment; and 3. Preparing individuals for entry and/or re-entry into the work place.		**3**	
28	**C.5.**	Provide a description of the proposer's experience in assessing and providing job services to individuals that have limited or no proficiency in English.		**2**	
28	**C.6.**	Describe the proposer's approach to career coaching, detailing the types of job retention services the proposer will offer to populations that traditionally have had difficulty sustaining employment.		**3**	
29	**C.7.**	Describe the proposer's existing relationships with local American Job Centers, WoRC Readiness Component (WoRC) Operators, and other appropriate community partners that can connect individuals with employment		**2**	

RESPONDENT LEGAL ENTITY NAME:					
Response Page # (Respondent completes)	**Item Ref.**	**Section C— Technical Qualifications, Experience & Approach Items**	**Item Score**	**Evaluation Factor**	**Raw Weighted Score**
		opportunities.			
29	**C.8.**	Describe the proposer's existing relationships with vocational training programs, certificate programs, apprenticeship programs, or the like.		**2**	
30	**C.9.**	Describe the proposer's approach to identifying high demand fields offering increased wage opportunities and assisting individuals in aligning their skills and training with these fields to take maximum advantage of employment opportunities.		**3**	
30	**C.10.**	Describe proactive measures the proposer intends to implement to assist individuals to overcome barriers to employment such as mental or physical health challenges, history of substance abuse, criminal history, transportation difficulties, lack of work experience, etc. Discuss 1) the process by which individuals will request supportive services from the proposer to address such barriers, and 2) the proposer's process for requiring and tracking receipts for such supportive services.		**3**	
31	**C.11.**	Describe the proposer's quality assurance processes and related infrastructure. Explain the proposer's internal monitoring processes for financials, including case documentation. Describe the frequency of internal monitoring reviews and what strategies the proposer will apply to improving service delivery and utilization control.		**2**	
32	**C.12.**	Describe the proposer's approach to monitoring individuals' participation in core and/or non-core work activities.		**2**	
The Solicitation Coordinator will use this sum and the formula below to calculate the section score. All calculations will use and result in numbers rounded to two (2) places to the right of the decimal point.			**Total Raw Weighted Score:** *(sum of Raw Weighted Scores above)*		
Total Raw Weighted Score / **Maximum Possible Raw Weighted Score** *(i.e., 5 x the sum of item weights above)*		**X 50** *(maximum possible score)*	**= SCORE:**		
State Use – Evaluator Identification:					
State Use – Grant Coordinator Signature, Printed Name & Date:					

C.1.

The Upper Cumberland Human Resource Agency (UCHRA) is a quasi-governmental agency created to administer state and federal programs at the regional level. UCHRA is also the designated Community Action Agency for the Upper Cumberland region. Serving in this capacity, the agency administers the programs which fall under the Community Services Block Grant such as the Self Sufficiency Training and Results Program (STAR). With the organizational structure in place to administer multiple state contracts we have no reservations that we can fully ramp up staffing and processes to begin the program July 1st, 2019. The Upper Cumberland Human Resource Agency understands the State is seeking a contractor to meet the primary goals of the Employment and Case Management Services (ECMS) with an approach of empowering families using the holistic model Two Generational concept. UCHRA staff will help the client examine the benefits of wage and hour increases and how it impacts their overall life and budget, assisting them in making the transition to success. Our proven success of coaching families towards greater levels of self-sufficiency through educational success, greater access to workforce development, improving the family's overall health and well-being and building resource networks which decrease the family's dependency on public assistance. UCHRA has reviewed the Proposal documentation and the requirements to submit the proposal and provide the services. UCHRA understands that any cost incurred in the preparation, submittal and presentation of any proposal is not paid for by the state. The agency understands that this is a reimbursement service grant contract up to the maximum liability amount stated in the contract. The term of the contract will begin July 1, 2019 through June 30, 2020. The Scope of Services (Attachment A) must include all required services. UCHRA must comply with all Federal and State regulations and program requirements. UCHRA will work cooperatively with the Tennessee Department of Human Services offices both at the state and county level. UCHRA understands that services must meet the families' goals as defined in the IOP. The agency will comply with all data collection and reporting requirements as defined in Attachment A. The agency will submit monthly invoices with supporting documentation for payment. The agency agrees that this proposal may be made available to the public.

1.Grant Funding Announcement Issued
April 18, 2019

2.Disability Accommodation Request Deadline
2:00 p.m. April 24, 2019

3.Notice of Intent to Propose Deadline
2:00 p.m. April 25, 2019

4.Response Deadline (Proposals Due)
2:00 p.m. May 3, 2019

5.State Completion of Technical Response Evaluations
May 17, 2019

6.State Notice of Intent to Award Released
2:00 p.m. May 21, 2019

7.State Sends Grant Contract to Grantee(s) for Signature
May 23, 2019

8.Grantee Signature Deadline
2:00 p.m. May 31, 2019

C.2.

The Upper Cumberland Human Resource Agency is committed to providing services at the community level. The Upper Cumberland Human Resource Agency is poised to provide this program seamlessly with the structure in place within the agency and the Community that will allow us to serve the Families First participants to the fullest extent using the ECMS program, the agency's Self Sufficiency and Training Program (STAR) and the community resources provided by the (14) county offices of UCHRA. UCHRA is a recipient of the Community Service Block Grant funding and is a designated Community Action Agency which allows the agency to fill gaps in services to all programs provided in the agency. This will allow UCHRA to provide a myriad of supportive services to the Families First participants. The agency's partnership and co-locations with the American Job Centers allows UCHRA to provide a holistic approach to the delivery of services to the Families First eligible participants who will benefit from this program.

UCHRA will provide all services as required in Attachment 1 of the ECMS program.
Services will be focused on the Two-Gen Approach and the Transition to Success Model.

- **Two Generational Approach -** Provide ECMS services to all eligible applicants with a focus on empowering families eligible for Families First participants on a course to achieve economic stability based on the Two-Generation approach utilizing the (4) core component areas of Educational Success, Workforce Development and Economic Assets, Health and Well Being and Social Capital. The agency will deliver services through a referral

- **Families First/Workforce Innovation and Opportunity Act -**UCHRA will enter into a Tennessee WIOA memorandum of understanding agreement to reflect a mutual referral process to allow the agency to collaborate with the State, LWDA's and other local mandated partners that will allow the agency to implement a comprehensive service delivery model utilizing all resources available for each participant.
- **Federal and State Families First/ TANF Work Requirements -** The agency will help families achieve economic stability through early childhood development pathways to education and employment for parents, and provide supportive services directly or through partnerships. Client will be engaged in Core and/or Non-Core Work Component activities per state requirements.

UCHRA has a structured network of partnerships for community resources that is in place in all (14) of the agency's regional offices so that Families First eligible participants will receive assistance at every level in their process of achieving self-sufficiency. UCHRA staff in all offices are trained in Transition to Success, Two-Gen Approach and Case Management to allow them to address any needs a participant may have and to address barriers to that success. UCHRA currently works with the Mid Cumberland Human Resource Agency's Youth Can Program to assist youth ages eighteen (18) to twenty-four (24) years of age obtain job skills for future employment. UCHRA shares a joint intake process with Mid Cumberland HRA for this purpose to streamline and provide effective services to this demographic. UCHRA's STAR program and its staff also partner with Mid Cumberland HRA staff and the American Job Centers to provide referrals to and from each agency for those clients who are income eligible through the STAR program to coordinate services so that each program is providing services effectively to move the client to the goal of self-sufficiency. UCHRA has memorandums of understanding in place with the regions TCAT's, Tennessee Technological University, and Fortis to assist current clients with Education and Employment training. The agency also partners with its local governments and the city and county mayors in all of the fourteen (14) county region to identify and remove barriers in the communities served by UCHRA. The agency meets with Advisory Boards quarterly in each of the fourteen (14) county region to discuss the needs and the solutions of the low-income individuals living in the area. The region currently lacks a coordinated program that can facilitate at the state, county, city and family level services to move Families First clients into economic success but UCHRA can fill that gap by utilizing the agency's current model and expanding partnerships with LWDA and the American Job Center.

C.3.

If awarded, this program would fall under the Community Services Department. This would be under the same structure as the Community Services Block Grant (CSBG) programs. This will allow the Families First Program to work closely with all existing CSBG programs.

UCHRA will establish the following positions that will ensure the project is managed in a way to allow for the completion of the Scope of Services and monitor the accomplishment of required objectives.

Program Manager that will be responsible for the overall operations of the program including fiscal accountability, operational and service delivery, monitoring compliance with all aspects of the program contract. Facilitate the relationships and partnerships with the LWDAs and the American Job Centers. This position will be responsible for the overall operation and compliance of the program.

Career Coach/Specialist will be responsible for the day to day assistance of clients and the families in developing their educational and employment goals, tracking their compliance and performance measures. This position meets with clients regularly but no less than one per month to update the IOP and Career plans, documenting all activities and information into the State System of Record and obtain and maintain all applicable documents for eligibility and compliance.

Business and Job Developer will be responsible for building professional relationships with employers and leveraging those relationships to create career opportunities. This position will conduct ongoing research pertinent to employer needs within the region and work closely with the Career Coach/Specialist, LWDA and the American Job Center staff to ensure clients are on the path to job placement that meets the current employment market needs and is responsible for ensuring placements with private, public and nonprofit organizations to promote and create employment opportunities in support of career pathways. This position will work with the state and request approval of placement sites form the State and provide the required information to the state for approvals.

Family Resource Specialist position will work in collaboration with agency staff and community agencies to support regional areas with the Two-Gen Approach and its activities to strengthen specific programs and customized services to support the client’s achievement of their IOP.

C.4.

UCHRA currently has the Self Sufficiency and Training program (STAR) that works with clients to achieve economic stability by providing case management, employment and education services that provide a complete approach by utilizing the Two-Gen approach and the TTS module. The staff are trained in the completion of Service Plans that assess the client's abilities and needs for objective of economic success. The staff work with employers, TCAT, the American Job Center, Workforce Development Board, Workforce Readiness job fairs, local government officials and federally funded programs and other partners to provide the necessary services to meet the client's goals. The agency also works closely with the Chamber(s) of Commerce in each county and the Joint Economic and Community Development Boards regionally.

With the STAR program in place in the agency we are poised to quickly transition the Families First clients into the existing structure in place using the employers and partners that the STAR program has memorandums of understanding and agreements with at this time. Using the existing format in the STAR program that works with new clients on soft skills using workforce readiness classes and training that includes case management time to address issues that arise when clients are entering or reentering the work place such as proper resume completion, dressing for success, business etiquette, professionalism in the workplace and any other specific barriers that each client may have.

C.5.

UCHRA has bi-lingual staff who can translate for clients who apply so that they are not disadvantage due to LEP. We also use a translation call center World Wide Interpreters for any person who speaks a language staff cannot assist with. With the STAR program UCHRA has a memorandum of understanding with Berlitz for LEP online classes to allow those clients who are limited in English to take the course that will allow them to finish with the ability to speak conversational English as needed to enter the workforce or attend school. UCHRA also has bi-lingual staff who can translate for clients who apply so that they are not disadvantage due to LEP.

C.6.

UCHRA will establish the position of Career Coach/Specialist whose primary duties will be to develop an IOP for each Families First client that will allow the client to understand the need to contact the Career Coach before allowing any work-related situation to escalate. Clients whose past job history indicates the need for additional education or career counseling will be referred to programs within the community that focus on the needs of those having difficulty sustaining employment due to

generational and environmental adversities. A client's Career Specialist may have them on a schedule of visits that exceed the once per month requirement if necessary. An example the agency's approach to career counseling through existing programs includes the administration of the SCSEP (Title V) program for older workers by providing on the job training to transition clients to permanent employment. The agency partners with the American Job Center for the Youth Can Program assisting disadvantage youth in job readiness training and job retention and long-term employment. The STAR program enrolls TANF and SNAP clients so that they can meet the requirements for continued benefits and receive training to overcome barriers and to achieve self-sufficiency through career training and education.

C.7.

UCHRA has a partnership with the American Job Center through a referral process and the current STAR program works in conjunction with the staff at the American Job Center to coordinate services that benefit the clients to the fullest. This partnership will expand to co-locating with the American Job Center to better provide a one-stop service delivery system. The agency also has a myriad of community partnerships with local, regional and state entities such as the American Job Center, LWDA, TDOL, and DHS that provide the agency with a comprehensive array of opportunities for clients in the fourteen (14) county service area. The agency currently partners with WoRC Readiness through local Joint Economic and Community Development Boards and the local Chambers. The agency has a working relationship established with local DHS offices for SNAP and TANF benefit recipients to be enrolled through the STAR program allowing the clients to meet the work or volunteer requirements to maintain their benefits in good standing.

C.8.

UCHRA partners with Tennessee Tech University, Volunteer State Community College, and Roane State Community College, and East Tennessee State University to allow clients the opportunity to receive an Associate's or Bachelor's degree. The agency partners with all local TCATs to allow clients to receive technical training and job placement outside the scope of traditional educational opportunities. The agency partners with the American Job Center for the Youth Can program that assist disadvantaged youth and has the SCSEP (Title V) program that assist seniors in job training and placement for both programs. The STAR program requires clients who need to develop work experience to volunteer with local partners through apprenticeships supervised by the Case Managers for that program. The agency also employs students attending TCATs for LPN certification part time for the agency's In-Home Services Programs to allow them on the job experience.

C.9.

The agency will establish a database of information that contains high demand field job descriptions based on information obtained using the TDOL labor market reports website and other data gathered through research on LMI. This database will serve as a reference tool for all staff to assist in the preparing of clients' IOP. This will guide staff in assisting clients with choices to encourage a long-term career path that will move them to economic success.

Staff will share this research with clients to help them develop a successful plan for their future along with Workforce Readiness classes and other trainings as identified to meet the needs of the client and break down the barriers to their ability to meet their goals. The position of Business/Job Developer will be responsible for research and creation of the database to be accessible to all staff and to maintain and update data as job market information changes to allow the data to be current at all times. The agency will utilize the resources of our sister agency, the Upper Cumberland Development District, to assist us with statistics and data to be used to create the database.

C.10.

UCHRA is uniquely situated to address client barriers with the programs already administered by the agency. Those programs include:

- **Transportation** - The UCARTS program funded by TDOT assists individuals with transportation
- **Housing** - The LIHEAP program funded by THDA provides individuals with utility assistance
- **Criminal History** - Reaching those individuals with a criminal history through the Community Corrections Intervention Program in addition to utilizing the agency's list of felony friendly employers
- **Child Care** – UCHRA promotes early childhood development through Head Start programs and currently developing proposals to implement Early Head Start programs across the Upper Cumberland region
- **Substance Abuse** - UCHRA has recently implemented the position of Upper Cumberland of Substance Abuse Coordinator to address and tackle the substance abuse issue plaguing our region
- **Employment** - The STAR program addresses employment and educational barriers for low income citizens of the Upper Cumberland Region

All fourteen (14) UCHRA county offices can provide on the spot assistance with Information and referrals for barriers that are critical and time sensitive. Together with community partners, UCHRA has services and resources available to remove those barriers such as referrals to legal aide, local

health departments, the Department of Mental Health and Substance Abuse, and local faith-based and non-profit organizations.

1. The agency will utilize the current system in place to address barriers to clients using an assessment tool in use for the STAR program that identifies the client's strengths and weaknesses. The agency staff will review the assessment with the client and address any barriers as needed. Staff will engage client on a face to face basis at least one time per month to assess client and family progress toward meeting IOP goals. This will include at minimum all four components of the Two Generational Approach to identity successes, barriers, and supportive services as needed. If client cannot meet with staff as scheduled, staff will make two attempts to reschedule the appointment and accommodate the client as needed.

2. Families First Clients in need of supportive services will contact their Career Specialist who will assess the barriers and update the IOP to reflect the need for services to alleviate the barriers. The client can contact their local UCHRA office during business hours if the need is critical and requires an immediate response outside of their ECMS program.

3. The agency will utilize a voucher system that requires all backup documents before payment is made using a system in place that is currently used for all CSBG and LIHEAP program payments. This system is a web based real time database (THO) that allows for tracking of all services a client receives agency wide and for the accuracy of the payments and tracking of the funding. All vendors will be entered into the software after the organization(s) signs a memorandum of understanding and provides the required documents for financial management and auditing.

C.11.

UCHRA is a service provider for the Department of Human Services as well as many other Federal and State program contracts and is an established organization with infrastructure in place to provide quality assurance measures to comply with all policy and procedures applied to this grant.

1. The Program Manager and appropriate staff will be responsible for monitoring the client's files to ensure accuracy based on required policy guidelines as defined by the State for this program. This will include the following:

a. Case File Maintenance and Documentation
b. Career and Barrier Assessments
c. State Referral and Intake Form
d. The IOP
e. Career Plan
f. Documentation of Clients work plan and all other work-related activities and attendance logs
g. Current Employment Documentation
h. Progress Notes
i. Attendance Record
j. Educational Enrollment Requirements
k. Incentive Payment Documentation and Validation
l. Assurance of Supportive Services including amounts, dates or service and issuance date
m. Documentation of client engagement
n. Notice of non-compliance if applicable
o. Notice of conciliation if applicable

2. The Program Manager or appropriate staff will provide monthly monitoring reviews of at least 10% of each Case Managers files. The Program Manager will review the financial reports provided from the agency's fiscal staff monthly to monitor compliance with program allowable costs and to review documents for budget accountability. Any areas identified by the Program Manager during the monthly review to be out of compliance will be discussed with agency staff for correction.

C.12.

UCHRA will monitor each client's IOP for compliance with Core and Non-Core requirements by the following:

1. Staff will review client's weekly activity or attendance logs and other documentation submitted by the client along with employment verification documents to ensure compliance and shall be reviewed and recorded at the monthly client meeting.
2. Clients are required to participate in a Core work component of a minimum of twenty (20) hours which are primary activities that lead to making a family self-supportive.
3. Clients may be asked to participate in Non-Core work components if additional hours are needed to meet the required minimum.
4. Staff will attempt to engage the non-compliant client within five (5) business days following the date of non-compliance and ensure that non-compliance hours are documented.

5. Staff will make at least two (2) attempts to contact client by telephone or email within the five (5) day period following the date of non-compliance.
6. If the staff is unsuccessful in their attempts to contact the non-compliant client during the (5) day non-compliant period a written notice shall be sent to inform the client of his or her non-compliance and a copy of the conciliation letter will be placed in the client file.

SCORE SUMMARY MATRIX

	PROPOSER NAME		*PROPOSER NAME*		*PROPOSER NAME*	
GENERAL QUALIFICATIONS & EXPERIENCE (maximum: 50)						
EVALUATOR NAME						
EVALUATOR NAME						
EVALUATOR NAME						
	AVERAGE:		**AVERAGE:**		**AVERAGE:**	
TECHNICAL QUALIFICATIONS, EXPERIENCE & APPROACH (maximum: 50)						
EVALUATOR NAME						
EVALUATOR NAME						
EVALUATOR NAME						
	AVERAGE:		**AVERAGE:**		**AVERAGE:**	
TOTAL PROPOSAL EVALUATION SCORE: (maximum: 100)						
Grant Coordinator Signature, Printed Name & Date:						